

DATE: February 10, 2006

TO: Region Engineers
Region Delivery Engineers
TSC Managers
Resident/Project Engineers
Region Construction Engineers

FROM: Larry E. Tibbits
Chief Operations Officer

John C. Friend
Engineer of Delivery

SUBJECT: Bureau of Highway Instructional Memorandum 2006-03
Retention and Disposal of Construction Project Records
(Supercedes BOH IM 2004-22)

The purpose of this memorandum is to revise the retention and disposal of construction records procedures set forth in BOH IM 2004-22. Previous procedures and guidelines are replaced by the attached procedure.

Chief Operations Officer

Engineer of Delivery

BOHD:C/T:AW:kab

Attachment

Index: Documentation

cc: C & T Support Area Staff
J. Reincke
S. El-Ahmad
G. Moore
ACEC
MAA
MITA

M. DeLong
J. Culp
C. Rademacher
K. Reincke
APAM
MCA

M. Van Port Fleet
B. O'Brien
P. Sebenick
T. Fudaly, FHWA
CRAM
MCPA

General Procedures for Construction Records Retention

The Federal Highway Administration (FHWA) requires that project construction records for federally funded projects be retained for a minimum of three years past the FHWA final accounting date. The FHWA final accounting date (for the purpose of records retention) is the date the Financial Operations Division (FOD) does the final billing to FHWA for federal funds. In addition to the FHWA requirement, there are record retention requirements issued by the Michigan Department of History, Arts and Libraries (HAL) and MDOT's Records Management Office. This procedure takes into account the requirements of the FHWA, as well as HAL.

The managing office engineer (delivery/project/resident/county/city/consultant) is responsible for all project records required at the project site. Each TSC/project office will name a Construction Records Coordinator (CRC) and provide the name of this person to the Construction and Technology Support Area's Records Management Coordinator (RMC).

Project records for construction on state trunkline projects will be retained at the region, TSC, or project office until the FOD final accounting date. This applies to both federally and state funded projects. The RMC will notify the CRC of the FOD final accounting date for projects in their respective area by e-mail on a monthly basis. This date is also available through the Phase Financial Closeout (PFC) application, which is accessible through a web interface using Citrix software. There may be a few instances when projects will not be listed in the PFC application. These projects are typically maintenance (M projects) and Multi-Modal projects. When these types of projects do not show up in PFC, the records will be sent to the HAL Records Management Office for microfilming and storage once the final voucher has been generated. The retention period will start on the final voucher date.

The construction records for projects with consultant engineering management will be delivered to the managing TSC when the final estimate voucher is received. The managing TSC will retain the records in accordance with these procedures.

If any litigation, claim, negotiation, audit or other action involving the records has been started before the FOD final accounting date, the records must be retained at the project office until completion of the action and resolution of all issues. Should the CRC be notified that such action has commenced after the records have been transferred to the HAL Records Management Office, the CRC will notify the RMC. At the end of the retention period, the HAL Records Management Office will send the record disposal notice to the RMC. The RMC will contact the CRC prior to any record disposal by HAL.

Retain the records for projects with warranty work at the TSC/project office until the end of the warranty period, unless the warranty period ends before the FOD final accounting date. If the warranty period ends before the FOD final accounting date, then retain the records at the TSC/project office until the FOD final accounting date.

All project records for non-trunkline projects are to be transferred to or retained by the local unit of government having jurisdiction over it.

File Terminology and Identification

Project records are subject to retention in accordance with the agency specific Retention and Disposal Schedules, which are legal documents (required by statute) that list all of the records created and maintained by an agency. Schedules provide the legal authority to dispose of state records, and are approved by the agency, Records Management Services, Auditor General, Attorney General, Michigan Historical Center, and State Administrative Board.

Contract ID

Contract ID numbers are assigned when a project is programmed as a unique identifier by work phase. Phase A is the construction phase.

Example: Contract ID: 58034-48611

The first two digits represent the county designation: 58 – Monroe County

The next three numbers represent the location within the county. The project number (48611) is obtained from the Map Project Information Systems (MPINS) during the design phase.

Project Identification

Appropriately identify and file all project documentation in numeric sequence by contract ID number. Note the contract ID number on all project data and folder labels. File all data in the proper location within the record series, and document the appropriate cross references in FieldManager.

Record Series

100 Series A record category to accommodate administrative and financial type documents.

200 Series A record category to accommodate engineering records.

300 Series A record category to accommodate testing records.

Folder Identification

All file folders will be labeled and each label will show the folder number, title, and the appropriate contract project identification.

Example:	102	Contract	58034-48611
	105	Contract Modifications	58034-48611
	110	Estimates	58034-48611

When the document volume within a folder becomes cumbersome, an additional folder(s) may be used.

Example:	112	Correspondence	58034-48611
	112A	Correspondence	58034-48611

In the event there are multiple project numbers within a construction contract, further identification detail may appear on each folder, along with folder number, folder name, and contract ID. This may not be necessary for all contracts due to the volume of records. Typically, the lowest project number will be included in contract ID.

Example:

<u>Contract ID:</u>	<u>Control Section:</u>	<u>Project</u>	<u>Fed#</u>	<u>Fed Item</u>
58034-48611	ANH 58034	48611A	NH 0358(001)	HH3396
	ABHN 58034	53371A	BHN 0358(002)	RR3462
	ANH 58034	59313A	NH 0358(003)	HH3397

111 Payrolls 58034-48611
ANH 58034 - 48611A

111A Payrolls 58034-486 11
ABHN 58034 - 53371A

111B Payrolls 58034-48611
ANH 58034 - 59313A

Construction Project Records List

Use this list when setting up the file folders for the project.

PROJECT FILE FOLDER NO.	
100	File Index - Programming
101	Advertising and Award
102	Contracts
103	Subcontract Agreements
104	Work Orders/Damage Claim Notice
105	Contract Modifications
106	Progress Reports (Form 1112D Bi-Weekly Construction Progress Report has been eliminated per BOH IM 2004-03. For projects closed out prior to BOH IM 2004-03.)
107	Construction Status (Work Days Charged)
108	Contractor's Evaluation, Inspection Reports, NPDES & Inspector's Daily Report (IDRS)
109	Contract Accounting (Force Accounts)
110	Pay Estimates
111	Payrolls & Trainee Reports
112	Correspondence
113	Meetings & Safety Program
114	Utilities - Permits - Real Estate Data
115	Rainfall Record
200	Contract History
201	Construction Survey Notes - Shop Drawing
202	Photographs & Videos
203	Grade Sheets - Structure Stakeout
204	Traffic Items (Barricade Checks & Etc.)
205	Miscellaneous Items (All Misc. Item Documentation)
206	Removal Items
207	Earthwork Items
208	HMA Tickets & QA/QC Reports
209	Aggregate Items & Tickets
210	Concrete - (Tickets & 1174's & QA/QC)
211	Drainage Items
212	Restoration Items
213	Guardrail Items
300	Testing Orders
301	Density Testing
302	Miscellaneous Testing (All Misc. Items)
303	Bituminous Items Testing
304	Drainage Items Testing
305	Concrete Items Testing
306	Aggregate and Granular Materials Testing
307	Bridge Items (Steel, Etc.)

PROJECT RECORDS FILES, FORMS, AND RETENTION TABLE

This table lists the common forms and record types used for the administration of MDOT projects and the retention and disposition of each. All forms and record types listed may not be used by all offices. Moreover, there may be forms and record types used which are not listed here. The absence of a form or record type from this document or the retention schedule does not exclude it from the state of Michigan's retention policy.

Record Series Item No. – Each record series listed on a retention schedule is assigned a number and a retention period. The only record series number you will use for project construction records is **28910**. This is the number which will be entered into the Versatile program when preparing the records to be transferred to the Record Center.

PROJECT FILE NO.	FORM NO.	FOLDER TITLE / (Document Title or Types)	Retention
100		FILE INDEX - PROGRAMMING	7 Years
101		ADVERTISING AND AWARD	7 years
		Notice to Proceed Date	7 years
		Letters of Approval of Contract Bidders	7 years
102		CONTRACTS	
	1130	Progress Schedule	7 Years
		Proposal/Addenda	7 Years
		Contract	7 years
		Consultant Contracts	7 Years
		Work Zone Enforcement Contracts	7 Years
103		SUBCONTRACT AGREEMENTS	
	164	Prime Contractor Statement Of DBE Subcontractor	7 Years
	1302	Subcontract Agreements or Cover Sheet and Items List	7 Years
	1386	Post Certification of Subcontract Compliance	7 years
		Blue Sheet (DBE Participation)	7 Years
104		WORK ORDERS/DAMAGE CLAIM NOTICE	
	1119	Damage Claim Notice	7 Years
	1137	Work Orders	7 Years
	1165	Notice of Non-Compliance with Contract Requirements	7 Years
105		CONTRACT MODIFICATIONS	
		Contract Modifications Adjustments Changes Extras Extension of Time Revised Progress Schedules	7 Years
106	1112D	PROGRESS REPORTS Form 1112D Bi-Weekly Construction Progress Report has been eliminated per BOH IM 2004-03. For projects closed out prior to BOH IM 2004-03	7 Years
107		CONSTRUCTION STATUS	
	1116	Weekly Statement of Work Days Charged	7 Years

108		CONTRACTOR'S EVALUATION, INSPECTION REPORTS, NPDES & INSPECTORS DAILY REPORT (IDR)	7 Years
	1120	Final Inspection/Acceptance and Certification Report	7 Years
	1122B	Field Book (Inspector's Daily Report - IDR)	7 Years
		Field Measurements (Attached to Field Book (IDR)) Work Sheets	7 Years
	1126	NPDES - Inspection Reports	7 Years
	1182	Contractor Performance Evaluation	7 Years
	FHWA 47	Material Certificate	7 Years
		Warranty Acceptance Documents	7 Years
		Notification from Contractor that Work is Completed	7 years
109		CONTRACT ACCOUNTING	
	1101	Force Account (if not attached to Contract Modification and documentation)	7 Years
	1101A	Force Account - Daily Field Record	7 Years
	1168	Force Account Worksheet for Equipment	7 Years
110		PAY ESTIMATES	
		Engineer's Estimate	7 Years
		Final Estimate	7 Years
		Post Final Construction Estimate	7 Years
		Construction Estimate	7 Years
111		PAYROLLS & TRAINEE REPORTS	
	1156	Minimum Wage Rate - Interview Sheet	7 Years
	1199	Weekly Employment and O.J.T. Report	7 Years
	WH-347	Payrolls	7 Years
	WH-348	Statement of Compliance	7 Years
112		CORRESPONDENCE	
		General Correspondence Published Articles & News Clips	7 Years
113		MEETINGS & SAFETY PROGRAM	
		Pre-Construction minutes, Progress Meetings, Post-Construction Meetings	7 Years
114		UTILITIES - PERMITS - REAL ESTATE DATA	
		All Forms Pertaining to Utilities, Permits and Real Estate.	7 Years
115		RAINFALL RECORDS	
	1108A	Rainfall Record (Not used in all offices)	7 Years
200		CONTRACT HISTORY	
		Archived Contract saved to removable media (memory stick, diskette, CD, etc.).	7 Years
	1147 & 1147C	Final Estimate Review Summaries	7 Years
CONSTRUCTION DOCUMENTS - "200" FILE SERIES			
201		Construction Survey Notes - Shop Drawings	7 Years
		Contractor's Staking QC Plan	7 Years
		Revision of Plans (As-Built) (Send to Design for Microfilming)	Exception
202		PHOTOGRAPHS & VIDEOS	7 Years

203		GRADE SHEETS - STRUCTURE STAKEOUT	
	201	Grade Sheets	7 Years
	1145	Grade Checks (or attach to IDR)	7 Years
204		TRAFFIC ITEMS (BARRICADE CHECKS & ETC)	
	1013	Inspector's Checklist (Arrow Bar)	7 Years
		Contractor's Daily Traffic Reports	
205		MISCELLANEOUS ITEMS (ALL MISC ITEM DOCUMENTATION)	
	204	General Computations (or attach with appropriate documentation)	7 Years
	205	Engineer Calculation (or with appropriate documentation)	7 Years
	500	Coring Request	7 Years
	583	Records of Soils Recommendation	7 Years
	1125	Permit to Place	7 Years
	1190	Structure Measurements	7 Years
206		REMOVAL ITEMS	
		Documentation for Removal Items	7 Years
207		EARTHWORK ITEMS	
	1124	Earthwork Data Sheet	7 Years
	1198	Volume Sheet	7 Years
208		HMA TICKETS & QA/QC REPORTS	
	Do not microfilm	HMA Delivery Tickets	7 Years
		Contractor's Quality Control Plan	Mfilm
	1903-B	Report of Verification of Quality Assurance Testing	Mfilm
	1903-C	Daily Report of Contractor's Quality Assurance Tests	Mfilm
	1907	MDOT Testing of Compacted HMA Density & Percent Compaction	Mfilm
	1911	Job Mix Formula (JMF) HMA Field Communication	Mfilm
209		AGGREGATE ITEMS & TICKETS	
	Do not microfilm	Delivery Tickets, Aggregate Summary Sheets Etc	7 Years
210		CONCRETE – TICKETS, 1174'S & QA/QC	
	Do not microfilm	Concrete Delivery Tickets	7 years
	590	Cylinder Results	Mfilm
	1131	Bridge Decks Conc. Depth Measurements	Mfilm
	1160	Report of Modulus Rupture	Mfilm
	1160-A	Concrete Cylinder/Core Compression Test Results	Mfilm
	1174	Concrete Proportioning Plant Report	Mfilm
	1174-A	Inspector's Report of Concrete Placed	Mfilm
		Contractor's Quality Control Plan	Mfilm
211		DRAINAGE ITEMS	
		Documentation for Drainage Items	7 Years
212		RESTORATION ITEMS	
		Documentation for Restoration Items	7 Years

213		GUARDRAIL ITEMS	
		Documentation for Guardrail Items	7 Years
300		TESTING ORDERS	
	501 Series	All Testing Orders	Mfilm
301		DENSITY TESTING	
	509 (do not microfilm)	IAT - Density Testing	7 Years
	582	Moisture and Density Determination of Soils	Mfilm
	582-A	Record of Density Retests	Mfilm
302		MISCELLANEOUS TESTING FOR ALL MISC ITEMS	
	Do not microfilm	Misc. Material Certifications	7 Years
	506	Report of Sign Inspection	Mfilm
	566	Report of Field Inspection	Mfilm
	1143	Testing Earth Grade with Compactor	Mfilm
	1178	Transfer of Tested Material	Mfilm
	1922	Tested Stock Report	Mfilm
	1923	Sample Identification	Mfilm
	1929	Welder Qualification Procedure Report	Mfilm
		Commercial Laboratory Test Reports (General)	Mfilm
		Report of Test - Laboratory	Mfilm
303		BITUMINOUS ITEMS TESTING	
	Do not microfilm	Material Certifications for Bituminous Materials	7 Years
	1842 (Do not microfilm)	Report of Test – Bituminous Mixtures Independent Assurance Sample	7 Years
	1903	Daily Report of HMA Plant Inspection	Mfilm
	1931	Report of Test Marshall HMA Design Mix Formula	Mfilm
	1931-B	Report of Test – HMA Mix Design - Regression	Mfilm
304		DRAINAGE ITEMS TESTING	
	Do not microfilm	Material Certifications for Drainage Items	7 Years
	1919	Corrugated Metal Pipe Report	Mfilm
	1920	Field Report for Concrete Pipe	Mfilm
	1920A	Field Report for Pre-cast Drainage Structure Items	Mfilm
305		CONCRETE ITEMS TESTING	
	502	Pavement Core Record	Mfilm
	503 (Do not microfilm)	IAT – Concrete Sampling and Testing	7 Years
	551	Report of Field Test and Concrete Test Cylinders	Mfilm
	580	Concrete Plant Equipment Inspection Report	Mfilm
	580-A	Concrete Plant Inspection	Mfilm
	1155	Weekly Summary of Certified Concrete from Commercial Central Mix and Transit-Mix Plants	Mfilm

306		AGGREGATE & GRANULAR MATERIALS TESTING	
	504 (Do not microfilm)	IAT – Aggregate Sampling and Testing	7 Years
	1900	Aggregate Inspection Daily Report	Mfilm
	1901	Mechanical Analysis Report	Mfilm
307		BRIDGE ITEMS ALL ENGINEERING & TESTING (STEEL & ETC)	
	507	Camber Measurements	Mfilm
	519	Cantilever and Bridge Mount Inspection	Mfilm
	538	Shop inspection of Structural Steel	Mfilm
	538A	Magnetic Particle Inspection Report	Mfilm
	538B	Inspection Report (Ultrasonic Exam of Welds)	Mfilm
	557	Pre-stressed Conc. Beam Construction Field Data Sheet	Mfilm
	579	Structure Foundation Inspection	Mfilm
	1138	Bridge Reinforcing Computations	Mfilm
	1156	Test Pile Record	Mfilm
	1157	Pile Driving Table	Mfilm

Note: Subtitled folders will be assigned to item of work folders and tested material folders. A subtitled folder may be set up for a single item of work and tested material or for a group of related items of work or materials. Subtitled and appropriate titled folders should be provided in sufficient quantity and groupings to permit convenient and quick access to the item of work and material documentation. The quantity of subtitled folders will vary with the type of project and with the variety and number of items of work.

Each subtitled folder should contain the support data for the work listed on the folder. Sub-titled folders should also be assigned to material folders. A sub-titled folder may be set up for a single material, or for a group of related materials. On a resurfacing project containing 3 or 4 items of work, all the required documentation for support of the quantities could be filed in one subtitled folder.

Records should not be prepared and sent into HAL, Records Management Office until training has been provided. Please contact Julie Baldwin (baldwinju@michigan.gov or phone 517-322-5659), Construction and Technology Records Management Coordinator for training and questions.